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Transmitted herewith for filing is the patent application of:

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For: THERMOELECTRIC DEVICES AND APPLICATIONS FOR THE SAME

Enclosed are:

- ☒ 16 pages of specification, 5 pages of claims, an abstract and a Combined Declaration and Power of Attorney.
- ☒ 11 sheet(s) of drawings.
- ☒ An assignment of the invention to: Battelle Memorial Institute, a Recordation Cover Sheet, and the Recordal fee of \$40.00.

CLAIMS AS FILED

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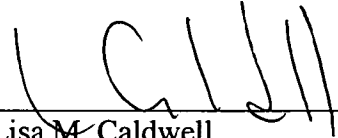
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**THERMOELECTRIC DEVICES AND APPLICATIONS FOR THE SAME****Field**

The present disclosure relates to thermoelectric devices, materials and methods of making and using the same to produce efficient thermoelectric devices.

**Background**

The increasing use of portable electronics has driven research in the area of portable electric generators. Thermoelectric (TE) power sources have been found to be especially useful. TE power sources typically comprise three parts: a heat source, a heat sink, and a thermopile. The thermopile, consisting of a number of thermocouples connected in series, serves to convert some of the thermal energy into electrical energy. TE power sources generate electric power based on creating a thermal gradient across the thermocouples of the thermopile. The TE power source operates to convert the thermal energy to electric power by accepting thermal energy on a "hot" side or junction, passing it through the thermopile and rejecting heat to a "cold" side or junction.

Certain TE power sources and TE thermocouples in particular are formed using semiconductor materials. Semiconductor materials with dissimilar characteristics are connected electrically in series (to form thermocouples) and thermally in parallel, so that two junctions are created. The semiconductor materials are typically n-type and p-type. In a typical thermoelectric device, the electrically conductive connection is formed between the p-type and n-type semiconductor materials. These materials are so named because of their structure: the n-type has more electrons than necessary to complete a perfect molecular lattice structure while the p-type does not have enough electrons to complete a lattice structure. The extra electrons in the n-type material and the holes left in the p-type material are called "carriers." The carriers are driven from the hot junction to the cold junction as a result of thermal diffusion resulting in an electrical current. For thermoelectric cooling, the electrons and holes transport heat as a result of imposed electrical current. Prior art FIG. 1a illustrates a form of such power conversion. Cooling action results from reversing the process.

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A semiconductor TE device's performance is limited by the non-dimensional thermoelectric figure of merit (ZT) of the material, where T is the absolute temperature and Z is the thermoelectric figure of merit,  $Z = \alpha^2 / k$  ( $\alpha$ -thermoelectric power,  $s$ -electrical conductivity,  $k$ -thermal conductivity). Typically TE devices are preferably formed of TE materials having relatively high thermoelectric figures of merit. In certain devices, however, the key objective is to produce power at voltages above 1.0 V in as small or compact a device as possible. The known TE materials having relatively high thermoelectric figures of merit cannot be deposited as thin films on substrates useful for forming small TE power source devices. Thus, although more efficient materials (i.e., materials with high ZT values) are typically better, for many applications it is more important that the resulting device be formed on a flexible substrate. As a result, although there may be some sacrifice of ZT value, using a TE material depositable on a substrate that allows fabrication of a small device with a relatively high voltage (without the need for a dc-dc converter) is better for certain applications. Unfortunately no such materials and methods are yet available.

Devices having ZT values of greater than 2.0 have been reported for Bi-Te/Sb-Te superlattices grown on single crystal GaAs. Such devices are not, however, suitable for many applications where hundreds or thousands of elements must be placed in a relatively small package.

Despite the potential and promise of TE devices, existing TE power sources have limited efficiency and electric potential when relatively small devices are made. Conventional semiconductor deposition techniques for making TE devices, such as electrochemical deposition, are not well suited for building optimally designed TE power sources. Difficult syntheses have limited the construction of many TE devices to bulk materials or minute quantities - each suffering from shortcomings in size or performance.

For example, currently available TE modules have structures similar to that depicted in prior art FIG. 1b, with each distinct thermoelement typically having a length and width on the order of a few millimeters. Such modules are described, for example, in U.S. Patent No. 6,388,185 and C.B. Vining, *Nature* 413:577 (Oct. 11, 2001). These

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modules cannot provide voltages that readily match the input requirements of many devices, including power conditioning electronics.

A practical approach to building high-voltage, thin-film TE devices capable of microwatt power output in relatively small packages is needed. In addition, TE devices using a temperature gradient of about 10°C or less would be helpful as well as TE devices operating at or near ambient temperatures. A number of applications require TE devices that operate at such temperatures and/or on such temperature gradients. For example, sensors used for building climate control or for other applications such as military applications where ambient energy is utilized if possible, operate on only 5 to 20°C temperature differences.

### Summary

A key parameter affecting the voltage produced by TE modules (also referred to herein as couples or thermocouples) is the length-to-area (L/A) ratio of the individual thermoelements, where A is the cross sectional area of a thermoelement. Current monolithic (or discrete element) modules are characterized by L/A values of less than about 20 cm<sup>-1</sup>. Although some superlattice TE devices have been proposed that have L/A values that are much higher than the current monolithic devices, the superlattice TE devices suffer other shortcomings. Current superlattice TE devices have been proposed to comprise a n-type superlattice structure having alternating layers of 50 Å in thickness with individual n-type elements being about 0.0001 cm in total thickness. Although superlattice TEs are relatively efficient with relatively high Seebeck coefficients, there is no superlattice TE technology where films are depositable on flexible substrates. Currently, all superlattice materials are deposited on single crystals; the films are grown on GaAs substrates and then are removed and applied to another substrate. Thus, superlattice TEs are not typically useful for applications requiring small or compact TE devices.

Accordingly, disclosed are thin film thermoelectric (TE) modules and power sources. Certain embodiments of the disclosed thin film TE modules and power sources have relatively large L/A ratio values, greater than about 20 cm<sup>-1</sup> and perhaps more typically greater than about 100 cm<sup>-1</sup>. Certain embodiments of the disclosed thin film TE

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modules and power sources have even larger L/A ratio values, for example up to about 1,000 to about 10,000  $\text{cm}^{-1}$  or greater. The L/A ratio values of certain embodiments of the disclosed TE power sources allow fabrication of  $\mu\text{W}$  to  $\text{W}$  power supplies providing voltages greater than 1 volt even when activated by relatively small temperature differences, such as  $20^\circ\text{C}$  or  $10^\circ\text{C}$ , and certain embodiments even at temperature differences as small as about  $5^\circ\text{C}$ . The size of the disclosed TE power sources are relatively small – having volumes in the range of one to ten  $\text{cm}^3$  – much smaller than existing devices that operate in the  $1\ \mu\text{W}$  to  $1\ \text{W}$  range, and certain embodiments provide voltages of greater than 1 V.

- 10 More specifically, the disclosed TE power sources comprise, in part, arrays of TE couples having multiple thermoelements (e.g., an n-type and a p-type thermoelement pair). The thermoelements are formed of sputter deposited thin films of  $\text{Bi}_x\text{Te}_y$ ,  $\text{Sb}_x\text{Te}_y$  and  $\text{Bi}_x\text{Se}_y$  alloys where x is typically about 2 and y is typically about 3. The thermoelements form the modules (thermocouples) for converting thermal energy to electrical energy.
- 15 Such thermoelements typically comprise thin films of TE materials having L/A ratios greater than about  $500\ \text{cm}^{-1}$ . The devices include modules where thin films of p-type and n-type TE materials are deposited, e.g., on a suitable flexible substrate and are electrically connected to one another in series or in series-parallel.

- Embodiments of the TE power sources comprise multiple TE modules, a hot junction (or heat source) and a cold junction (some mechanism for removing heat). The TE power source may additionally include one or more ceramic plates or a ceramic-coated metallic shoe or the like.
- 20

- Novel methods of constructing such TE elements, modules and devices, including sputter deposition of  $\text{Bi}_x\text{Te}_y$ ,  $\text{Sb}_x\text{Te}_y$  and  $\text{Bi}_x\text{Se}_y$  alloys (where x is typically about 2 and y is typically about 3) and the use of templates are also disclosed. The process may be used to deposit n-type and p-type films that exhibit useful TE properties. In addition, in certain embodiments, electrically conductive material connecting the thermoelements of the module are sputter deposited as well. When deposited onto flexible substrates, such films find many practical uses where a TE module of almost any configuration is required.
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**Brief Description of the Drawings**

FIG. 1a is a representation of a prior art illustration of a basic approach to thermoelectric energy conversion.

FIG. 1b is a diagram showing a prior art arrangement of discrete TE elements.

5 FIG. 1c is a representation illustrating the L/A ratio parameters for a single prior art TE element as shown in the device of FIG. 1b.

FIG. 2a illustrates a portion of an embodiment of the disclosed n-type/p-type TE thin film modules.

10 FIG. 2b illustrates the L/A ratio parameters for a single p-type thin film TE element of the embodiment of the module illustrated in FIG. 2a.

FIG. 3 illustrates a portion of an embodiment of the disclosed n-type/p-type TE thin film modules.

FIG. 4 illustrates an embodiment of the disclosed TE power source.

15 FIG. 5 illustrates an embodiment the disclosed TE power source in which TE thin film modules, such as those illustrated by FIG. 6, are wound about a spindle.

FIG. 6 illustrates an embodiment of the disclosed n-type/p-type TE thin film modules as deposited on a flexible substrate.

20 FIG. 7 illustrates an embodiment of the disclosed power source wherein arrays of TE thin film modules, such as those of FIG 2a, FIG. 3, FIG. 6 or modules with relatively wider thermoelements are folded in an accordion configuration.

FIG. 8 illustrates an embodiment of the disclosed power source device wherein a nuclear heat source is positioned between arrays of TE thin film modules folded in an accordion configuration.

25 FIG. 9a is an illustration of disclosed n-type and p-type TE thin film modules deposited in an array configuration on a substrate, with representative dimensions for the same.

FIG. 9b illustrates representative dimensions of thermoelements in the embodiment of the TE thin film modules depicted in FIG. 9a.

FIG. 10 illustrates a TE sensor that uses heat from one side of the thermopile.

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FIG. 11 is a graph showing the dependence of the Seebeck coefficient and electrical conductivity of TE materials deposited on a KAPTON substrate, on sputter deposition conditions.

FIG. 12a is a photograph of a representative mask suitable for use in depositing n-type thermoelements in the configuration shown in the embodiments of the TE modules of FIG. 2a and FIG. 6.

FIG. 12b is a photograph of a representative mask suitable for use in depositing p-type thermoelements in the configuration shown in the embodiments of the TE modules of FIG. 2a and FIG. 6.

FIG. 12c is a photograph of a representative mask suitable for use in depositing conducting connectors in the configuration shown in the embodiments of the TE modules of FIG. 2a and FIG. 6.

FIG. 13 is a photograph of disclosed n-type and p-type TE thin film modules deposited on a flexible substrate.

FIG. 14 shows an embodiment of the disclosed n-type and p-type TE thin films deposited on a flexible substrate wherein the n-type and p-type TE thin films are connected in a series-parallel arrangement.

### **Detailed Description**

Disclosed are TE modules comprising pairs of sputter deposited thin film thermoelements and electrically conductive members connecting the thermoelements to one another in series or in series-parallel. Also disclosed are TE power source devices formed of multiple TE couples such as arrays of TE couples wherein the thin film thermoelements have an L/A ratio of greater than at least about  $20 \text{ cm}^{-1}$  or greater than about  $100 \text{ cm}^{-1}$  with certain embodiments having an L/A ratio of greater than 1000, 10,000 and even higher.

Unless otherwise indicated, all numbers expressing quantities of ingredients, properties such as L and A values, thicknesses, power levels, and so forth used in the specification and claims are to be understood as being modified by the term "about"

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whether explicitly stated or not. Accordingly, unless indicated clearly to the contrary, the numerical parameters set forth are approximations.

One embodiment of multiple thin film TE modules 115 utilized to form the disclosed TE power source 100 (see e.g., FIG. 4) is shown in FIG. 2a. FIG. 2a depicts a portion 135 of the TE power source 100, the portion 135 comprising the multiple TE modules 115 formed on a substrate 140. The TE modules 115 comprise pairs of n-type thermoelements 110 and p-type thermoelements 120 formed of semiconductor thin films.

Alternating n-type and p-type thermoelements 110, 120 of the TE modules 115 may be positioned parallel to one another as shown in FIG. 2a, in series-parallel as shown in FIG. 14, or may be placed in other suitable fashions (as mentioned below). Electrical connection (through electrically conductive member 105) of one n-type thermoelement 110 with one p-type element 120 forms a complete, single TE module 115 (also referred to as a thermocouple or a couple). Electrically conductive members 105 connect the n-type thermoelements 110 to p-type thermoelements 120, for example, alternately at adjacent thermoelement first ends 125 and adjacent thermoelement second ends 130 (as shown in FIG. 2a).

The electrically conductive members 105 may be substantially perpendicular to the elements 110, 120 or may be positioned in any suitable manner so as to electrically connect the thermoelements in series or in series parallel. In another possible configuration, there may be no separate electrically conductive members but instead the TE p-type and n-type alternating elements may be connected directly to one another, as for example shown in FIG. 3. Such a device would reduce the number of deposition steps required to form the TE module. For example, in another embodiment the n-type and/or p-type materials may be placed at angles to one another, connecting at alternating ends so that they come together at the hot and cold ends – forming a zigzag type configuration. In another possible alternative embodiment electrically conductive members are formed of the n-type or p-type elements themselves and are positioned as shown in FIG. 3. Clearly the individual TE elements and the array of TE elements making up a module may take a myriad of configurations.

The TE modules 115 may be formed on a flexible or a rigid substrate 140.

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A TE power source 100 may include any number of TE couples 115 depending upon the application of the power source. Certain TE power sources comprise, e.g., from about 500 to 2000 TE modules 115. As a specific example application, a TE power source 100 used to power a temperature sensor or used to power a wireless transmitting device, with a power of  $50\text{ }\mu\text{W}$  at 1.0 V, might utilize 600 to 800 n-p thermocouples (TE modules 115) with each TE element being about 1 cm long, 0.1 cm wide and 0.0001 cm in thickness. A nuclear TE power source designed to provide 100 mW at 1.0 V would potentially involve the same number of thermocouples, but the elements would more likely be about 0.2 cm in length, 1 cm wide and 0.0040 cm in thickness. The voltage required of the TE power source determines the number of thermocouples (TE modules) necessary and the desirable current determines the necessary L/A ratio of the thermoelements.

Possible embodiments of a complete TE power source 100 are shown in FIGS. 4, 7 and 8. In addition to the array of TE modules 135, the TE power source may comprise thermally conductive plates 150, 160, such as ceramic plates on the upper and lower edges of the substrate 140 (as shown in FIG. 4), a single ceramic plate, a ceramic shoe or other suitable enclosure devices. Electrical leads 180 are connected to the array of TE couples 135 of the TE device 100 to receive and transmit the electrical energy produced by the device.

The embodiment of the thin film TE power source 100 may further comprise a hot junction (or heat source) and a cold junction. The hot junction or heat source may comprise any suitable source depending upon the application of the device, for example a chemical energy source, heat from the environment, or a nuclear heat source as shown in FIG. 8. The cold junction may comprise any suitable heat removal mechanism constructed or positioned in a manner that allows heat to be relieved from or extracted from the TE power source. For example, the cold junction may comprise a heat pipe arrangement or exposure to the environment by, e.g., convection cooling.

In another particular embodiment the TE power source 200 comprises multiple TE couples forming an array of modules 235 deposited onto a flexible substrate 240 (FIG. 5). The array of couples 235 is wound in a coil like fashion and positioned between hot and cold junctions 250 and 260. The array module 235 may simply form a coil or may be

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wound about an apparatus such as a spindle 280. Such a configuration provides an even smaller TE power source without sacrificing power output.

If a TE power source application requires relatively large currents, the internal resistance of the TE array is preferably made to be relatively low. To do so may involve forming thermoelement films that have relatively low values of  $L/A$ . To create films with lower  $L/A$  values, relatively wide thermoelements may be deposited and used. The TE power source depicted in FIGS. 7 and 8 may utilize thin film thermoelements having relatively large widths deposited on a flexible substrate such as polyimide tape. The TE module array may then be configured in an accordion-like arrangement and packaged with appropriate feedthroughs, as shown in FIGS. 7 and 8.

The current density of TE power sources as disclosed herein will depend on the total number of thermoelements, and the  $L$  and  $A$  values for the thermoelements. Put another way, if particular current densities are desirable for a particular TE power source, the number of thermoelements and  $L$  and  $A$  values may be manipulated to meet such requirements. Referring to an embodiment configured as shown in FIG. 3, if the thermoelements were deposited to have an  $L$  value of 1 cm, a width of 0.1 cm and a film thickness of .0001 cm, a TE power source based on about 500 of such thermoelements would produce 10 micro amps, whereas with wider thermoelements such as discussed in relation to and illustrated in FIGS. 7 and 8, a current of 100 milliamps could be produced. With either such embodiments, a current density of about 1 Amp/cm<sup>2</sup> would flow.

#### Thin Film TE Thermoelements

The TE thermoelements, although depicted in most of the figures as rectangular in shape, may take any suitable shape. Clearly, with rectangular-shaped thermoelements the dimensions may also be varied depending upon the ultimate application of the resulting TE power source being fabricated. For example, the dimensions of the individual thermoelements length, width, and thickness as well as the number of elements and the array configuration may all be changed (see, e.g., FIGS. 9a and 9b). The resistivity of the n-type and p-type materials may be different, so if one desires to minimize the total resistance, the  $L/A$  ratios can be manipulated. In addition, the p-type thermoelements may have different dimensions, such as different widths, than those dimensions of the n-type

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elements. Furthermore, for thermoelements of widths too great to be easily folded or coiled on a flexible substrate, the thermoelements may be broken up into separate pieces positioned in parallel to one another and in series with the opposite type thermoelements, such as, for example, the configuration shown in FIG. 14 (i.e., in series-parallel

5 configurations).

One group of thermoelectric materials for power generation in the 0°C to the 100°C temperature range are semiconductors and related alloys based on  $\text{Bi}_x\text{Te}_y$ ,  $\text{Sb}_x\text{Te}_y$  and  $\text{Bi}_x\text{Se}_y$  where x is typically about 2 and y is typically about 3. The values of x and y may vary depending upon the power supplied to the sputter deposition targets (or equivalently the flux coming from each target). Such thin film thermoelement materials can be sputtered onto a variety of substrates, such as very useful flexible substrates (e.g., polyimide films such as those currently manufactured by the DuPont Corporation under the KAPTON trademark) which allow for fabricating very compact TE power sources.

The films forming the thermoelements 110, 120 may vary in thickness, but certain embodiments of the disclosed TE devices include thermoelements having thicknesses of at least 0.1 mm. The desirable thickness depends on the ultimate application of the TE power source being fabricated. In addition, the thickness variation will depend on the sputtering system arrangement, but typically fall within +/- 5%.

The thermoelements 110, 120 may vary in area but certain embodiments of the disclosed TE devices include thermoelements having an L/A ratio of greater than about 50  $\text{cm}^{-1}$ . Of course, as mentioned above, the L and A values and/or other dimensions of the thermoelements may be varied as desired according to the desired application of the resulting TE device. The range for the L, A and thickness values depend on the power requirements of the ultimate TE power source being made. If it is desirable to have a power source having a voltage of 1.0 or 2.0 volts, then the choice of L/A values depends on the current requirements. For example, in the first two specific embodiments described above, the L/A value for a TE power source for a sensor is 100,000 and for a nuclear battery the L/A ratio is 50. The third specific embodiment involves an array of TE thermoelement modules having an L/A value about in the range of prior art discrete elements.

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An advantage of the present methods for fabricating TE thermoelements is that the thermoelements are being sputter deposited and thus are more controllable and easily manipulated than are thermoelements made by standard approaches involving the growth of crystalline boules followed by cutting. Such prior approaches to defining the thermoelement L/A ratios are impractical on a small scale, let alone on a commercial scale. The templates used in the deposition of the thermoelement thin films are simply varied accordingly; see, for example, FIGS. 12a-12c.

Sputter deposited thin films based on superlattice structures can also be used to fabricate the thermoelectric power sources. Each n-type and p-type film could consist of a multilayer film structure with the individual layers being approximately 10 Å to 200 Å thick, and the total film thickness varying as described for the homogeneous films described herein. For example, and not meant to be limiting, a n-type superlattice film might consist of alternating  $\text{Bi}_2\text{Te}_3$  and  $\text{Sb}_2\text{Te}_3$  layers with thicknesses of 50 Å and 150 Å, respectively, which are deposited at ambient conditions. A p-type superlattice structure may involve a similar structure, but grown with a different substrate temperature. These film structures can have larger values of electrical conductivity and Seebeck coefficient, and lower values of thermal conductivity, all of which allow improved power source efficiency.

#### Substrate Materials

In certain embodiments, the p-type and n-type TE thermoelements are deposited onto a flexible substrate. The flexible substrate may be, e.g., a polyimide, such as KAPTON, however, any suitable flexible substrate may be used. The substrate should be able to withstand sputter deposition conditions without undue deterioration. In other embodiments TE materials are deposited on a substrate comprising any suitable sufficiently rigid substrate (e.g., glass or other electrically insulating materials that possess relatively low thermal conductivities). Essentially any electrically insulating substrate (FIG. 2a) (or substrate coated with an insulating material) may be utilized for the rigid or flexible TE device as long as the substrate can withstand the deposition conditions and can meet required thermal conductivity levels.

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### Electrically Conductive Members

As discussed above, TE modules are formed by electrically connecting a thin film n-type thermoelement to a p-type thermoelement through electrically conductive members. The electrically conductive members may comprise any suitable electrically conductive material. For example, the electrically conductive members may comprise a metal, such as aluminum, gold, nickel, and mixtures thereof. In one particular embodiment the conductive members comprise a nickel layer formed on the substrate and a gold layer formed on the nickel layer

### Methods for Constructing Thin Film TE Elements

TE thin film thermoelements and TE modules are formed by sputter deposition. In particular embodiments a mask or template is used as shown in FIGS. 12a-12c. The masks may be formed by standard lithography and/or etching techniques to control the shape and position of each TE thermoelement and conductive member on a substrate.

The disclosed process allows for the deposition of many (e.g., hundreds, thousands, or more) TE thermoelement couples on flexible materials such as KAPTON polyimide (available from DuPont). A representative individual p-type TE thermoelement 190 is shown in FIG. 2b, which also illustrates the L/A ratio. High voltage,  $\mu\text{W}$  to  $\text{mW}$  (or greater, e.g.,  $\text{W}$ ) TE power sources comprising hundreds or thousands of TE modules can be made with the disclosed process.

With reference to FIG. 11 and Table 1 below, a wide range of sputter deposition process parameters were used to obtain TE thermoelement materials having desirable properties. In particular, a myriad of sputtering gas pressures, target powers, deposition rates, target-substrate distances and substrate temperatures were tested. Certain exemplary sputter deposition methods are specifically disclosed below but clearly other sputter deposition parameters may produce suitable thin films for forming the TE thermoelements disclosed herein.

The thin films forming the TE elements may be sputter deposited using, for example, RF magnetron sputtering. The films may be deposited simultaneously from two of three possible sources, for example, and not meant to be limiting,  $\text{Bi}_2\text{Te}_3$ ,  $\text{Sb}_2\text{Te}_3$  and  $\text{Bi}_2\text{Se}_3$  alloys, or combinations thereof. The amount of RF power supplied to each of the



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targets, substrate temperature and sputtering gas pressure are varied for deposition conditions that result in films with desired properties which in turn depend upon the application of the device. Representative thin film material parameters and sputtering conditions are shown in FIG. 11. The specific examples given below are not to be  
5 considered limiting of the present disclosure but merely representative.

### Example 1: Sputter Deposition of n-Type Thermoelements

A substrate comprising KAPTON (as well as a glass substrate) was positioned 5 inches from both a  $\text{Sb}_2\text{Te}_3$  (Sb-Te) and a  $\text{Bi}_2\text{Te}_3$  (Bi-Te) target in a standard sputter  
10 deposition chamber. Each target measured 2 inches in diameter. The sputter deposition chamber was evacuated to a pressure of  $10^{-6}$  Torr and the system was then filled with purified argon adding to the system sputtering gas pressure (e.g., 3.0 mTorr).

The substrates and the targets were each ion cleaned for 3 to 5 minutes. Plasmas were established above the targets with 30 watts of power being supplied to the Sb-Te  
15 target and 20 watts of power to the Bi-Te target. The deposition was carried out with the substrates at ambient temperature. Under these conditions, the deposition rate was 3.5 Å/s. Thus, to deposit a one micron thick film required approximately 47 minutes.

After deposition, the thermoelement thin films were characterized. The thickness was measured with a profilometer. The resistivity and Seebeck coefficient also were  
20 determined for the deposited thermoelement thin films, as shown in FIG. 11. Resulting values are provided in Table 1.

**Table 1: Exemplary Parameters For Deposition On KAPTON\***

Substrate Temperature (°C)	$\text{Sb}_2\text{Te}_3$ Target Power (Watts)	$\text{Bi}_2\text{Te}_3$ Target Power (Watts)	Growth Rate (Å/s)	Resistivity (ohm-cm)	Seebeck Coefficient (μV/°C)
Ambient	30	20	3.5	0.0122	-131
300	30	10	3.0	0.00325	+158

\*Sputtering Gas Pressure was 3.0 mTorr; Targets had 2.0 inch diameters; Sb-Te and Bi-Te targets were positioned 5 inches from substrate platform.

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**Example 2: Sputter Deposition of p-Type Thermoelements**

A substrate comprising KAPTON (as well as a glass substrate) was positioned 5 inches from both a  $\text{Sb}_2\text{Te}_3$  (Sb-Te) and a  $\text{Bi}_2\text{Te}_3$  (Bi-Te) target in a standard sputter deposition chamber. Each target measured 2 inches in diameter. The sputter deposition chamber was evacuated to a pressure of  $10^{-6}$  Torr and the system was then filled with purified argon adding to the system sputtering gas pressure (e.g., 3.0 mTorr).

The substrates were ion cleaned for 3 to 5 minutes. The substrate temperature was then raised to  $300^\circ\text{C}$ . The target surfaces were then ion cleaned for 3 to 5 minutes. Plasmas were established above the targets with 30 watts of power supplied to the Sb-Te target and 10 watts of power to the Bi-Te target. The deposition was carried out with the substrates at  $300^\circ\text{C}$ . The deposition rate was  $3.0 \text{ \AA/s}$ . Thus, to deposit a one micron thick film required approximately 55 minutes.

After deposition, the thermoelement thin films were characterized. The thickness was measured with a profilometer. The resistivity and Seebeck coefficient also were determined for the deposited thermoelement thin films. Resulting values are provided in Table 1.

As shown in FIG. 11, the temperature of the substrate effectively determines the Seebeck coefficient for each of the deposited thermoelement thin films in the foregoing examples 1 and 2. The curves in Figure 11 show the results as the temperature of the substrate was increased from ambient (approximately  $20^\circ\text{C}$ ) to a final temperature of about  $300^\circ\text{C}$  for both the resultant p-type material and the resultant n-type material. As shown in FIG. 11, the p-type material having a Seebeck coefficient of +158 and resistivity of 0.00325 ohm-cm was formed when  $\text{Sb}_2\text{Te}_3$  and  $\text{Bi}_2\text{Te}_3$  were simultaneously sputtered at a temperature of  $300^\circ\text{C}$  using 30 Watts of power to the  $\text{Sb}_2\text{Te}_3$  and 10 Watts of power to the  $\text{Bi}_2\text{Te}_3$ . Conversely, the n-type material, having a Seebeck coefficient of -131 and resistivity of 0.0122 ohm-cm, was formed when  $\text{Sb}_2\text{Te}_3$  and  $\text{Bi}_2\text{Te}_3$  were simultaneously sputtered at ambient temperature (approximately  $20^\circ\text{C}$ ) using 30 Watts of power to the  $\text{Sb}_2\text{Te}_3$  and 20 Watts of power to the  $\text{Bi}_2\text{Te}_3$ .

While the end points are described as "desirable" in FIG. 11, as shown in the respective curves of FIG. 11, each of these materials fluctuated across a wide range of

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Seebeck coefficients depending on the substrate temperature. Those skilled in the art will recognize that intermediate points to those shown in the curves will produce satisfactory TE elements. Further, while those skilled in the art will recognize that having one thin film with a positive Seebeck coefficient and the other thin film with a negative Seebeck coefficient will generally produce thermoelectric devices having higher power densities, since it is the delta in the Seebeck coefficients between any two thin films that produces the thermoelectric effect, given a sufficient delta between any two thin films the thermoelectric effect is nevertheless expected, and it is therefore not absolutely critical that one be positive and the other be negative. For example, and not meant to be limiting, most metals, e.g., copper, will have a Seebeck coefficient of about 0. Since copper is highly conductive, using copper as one of the thin films will produce a thermoelectric effect, provided that the other thin film has either a sufficiently high or a sufficiently low Seebeck coefficient. Since metals such as copper are generally highly conductive, an effective TE device could be produced using just such an arrangement. Therefore, the use of the terms "n-type" and "p-type" in the present application should be understood to be relative in nature; and any configurations wherein two highly conductive thin films having a sufficient delta in their Seebeck coefficients should be understood to be included in the applicant's use of the terms "n-type" and "p-type."

### **Example 3: Fabrication of a Thermoelectric Array on KAPTON**

A TE module array like those shown in FIGS. 1a or 9a was fabricated on a substrate comprising KAPTON using masks such as those depicted in FIGS. 12a-12c. The p-type thermoelements were deposited first because they are deposited at 300°C. The n-type thermoelements were deposited next and then the electrically conductive members were deposited.

Specifically, a KAPTON substrate sheet using a mask as shown in FIG. 12b was positioned into a deposition chamber. The mask was securely positioned over the KAPTON sheet using round holes at each end of the mask (see FIG. 12b). Target choices and positioning and other deposition conditions and parameters were as described in Example 2.

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Once the desired p-type elements were deposited, the process was stopped and the sputter deposition system opened to replace the p-type mask of FIG. 12b with an n-type mask such as the mask depicted in FIG. 12a. The n-type mask was carefully positioned over the KAPTON sheet, again using the round holes in the mask as guides. Target choices, positioning and other deposition conditions were as described in Example 1.

The process was again stopped once the n-type thermoelements were deposited to replace the n-type mask and with a metallization mask such as the mask depicted in FIG. 12c to form the electrically conductive members. The metallization mask was positioned and secured over the KAPTON sheet using round holes in the mask as guides. By standard sputter deposition procedures,  $1.0\text{ }\mu\text{m}$  of aluminum was first deposited, followed by  $0.1\text{ }\mu\text{m}$  of nickel.

These deposition processes produced an array of p-type and n-type thermoelement modules on a flexible substrate in the configuration shown in FIGS. 2a, 12a-12c, and 13.

The specific templates or masks shown in FIGS. 12a-12c in the foregoing procedure were used to produce two arrays of six thermocouples deposited on two different strips of KAPTON substrate. Such arrays of TE modules were, for example, assembled into a TE power source such as shown in FIG. 5. The fabrication of arrays of six TE modules would allow for production of, e.g., a  $25\text{ }\mu\text{W}$  TE power source with a  $1.0\text{ V}$  output at a temperature gradient of only  $20^{\circ}\text{C}$ .

Whereas the TE thermoelements, modules, arrays and power sources as well as the methods for making the same have been described with reference to multiple embodiments and examples, it will be understood that the invention is not limited to those embodiments and examples. On the contrary, the invention is intended to encompass all modifications, alternatives, and equivalents as may be included within the spirit and scope of the invention as defined by the appended claims.

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We claim:

1. A thermoelectric power source comprising:  
a flexible substrate having an upper surface; and  
5 a thermoelectric couple comprising:
  - (a) a sputter deposited thin film p-type thermoelement positioned on the upper surface of the flexible substrate;
  - (b) a sputter deposited thin film n-type thermoelement positioned on the upper surface of the flexible substrate adjacent the p-type thermoelement; and
  - 10 (c) an electrically conductive member positioned on the flexible substrate and electrically connecting the first end of the p-type thermoelement is in electrical contact with the second end of the n-type thermoelement.
2. The thermoelectric power source of claim 1 wherein the p-type or the n-type  
15 thermoelements have  $L/A$  ratios greater than about  $20 \text{ cm}^{-1}$ .
3. The thermoelectric power source of claim 1 wherein the p-type or the n-type thermoelements have  $L/A$  ratios greater than about  $100 \text{ cm}^{-1}$ .
- 20 4. The thermoelectric power source of claim 1 wherein the p-type or the n-type thermoelements comprise  $\text{Bi}_a\text{Te}_b$  where  $a$  is about 2 and  $b$  is about 3.
5. The thermoelectric power source of claim 1 wherein the p-type or the n-type thermoelements are selected from the group  $\text{Bi}_x\text{Te}_y$ ,  $\text{Sb}_x\text{Te}_y$ , and  $\text{Bi}_x\text{Se}_y$  alloys where  $x$  is  
25 about 2 and  $y$  is about 3.
6. The thermoelectric power source of claim 1 further comprising at least about 50 thermoelectric couples, wherein the thermoelectric power source has a power output of at least  $1 \text{ } \mu\text{W}$  with a voltage of at least at least 0.25 volt.

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7. The thermoelectric power source of claim 6 wherein the p-type or the n-type thermoelements are at least about 1 mm in length and at least about 0.1 mm in width.

8. The thermoelectric power source of claim 6 wherein the p-type or the n-type thermoelements are at least about 20 angstroms in thickness.

9. The thermoelectric power source of claim 1 further comprising at least about 1000 thermoelectric couples, wherein the thermoelectric power source has a power output of about 1W with a voltage of at least about 1 volt.

10. The thermoelectric power source of claim 1 wherein the p-type thermoelements have different widths as compared to the n-type thermoelements.

11. The thermoelectric power source of claim 1 wherein two or more p-type thermoelements are positioned and electrically connected in parallel with one another and the parallel positioned p-type thermoelements are electrically connected in series to n-type thermoelements.

12. The thermoelectric power source of claim 1 further including multiple thermoelectric couples electrically connected in series on the upper surface of the flexible substrate and wherein the flexible substrate is in a coil configuration.

13. The thermoelectric power source of claim 1 wherein the volume of the thermoelectric power source is less than about  $10\text{ cm}^3$  and has a power output of from about  $1\text{ }\mu\text{W}$  to about 1 W.

14. The thermoelectric power source of claim 1 wherein the volume of the thermoelectric power source is less than about  $10\text{ cm}^3$  and provides voltages of greater than about 1 volt.

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15. The thermoelectric power source of claim 14 wherein the thermoelectric power source produces power at temperature differences of about 20°C or less.

16. The thermoelectric power source of claim 1 wherein two or more n-type thermoelements are positioned and electrically connected in parallel with one another and the parallel positioned n-type thermoelements are electrically connected in series to p-type thermoelements.

17. The thermoelectric power source of claim 1 wherein the n-type thermoelements are substantially free of selenium.

18. The thermoelectric power source of claim 1 wherein the flexible substrate is a polyimide.

19. The thermoelectric power source of claim 1 wherein the p-type thermoelement is a superlattice.

20. The thermoelectric power source of claim 19 wherein the superlattice comprises alternating  $\text{Bi}_2\text{Te}_3$  and  $\text{Sb}_2\text{Te}_3$  layers with thicknesses between about 50 Å and about 150 Å.

21. The thermoelectric power source of claim 1 wherein the n-type thermoelement is a superlattice.

22. The thermoelectric power source of claim 21 wherein the superlattice comprises alternating  $\text{Bi}_2\text{Te}_3$  and  $\text{Sb}_2\text{Te}_3$  layers with thicknesses between about 50 Å and about 150 Å.

23. A thermoelectric power source comprising:  
a flexible substrate having an upper surface;

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multiple thermocouples electrically connected to one another on the upper surface of the flexible substrate, the thermocouples comprising:

sputter deposited thin film p-type thermoelements;

sputter deposited thin film n-type thermoelements alternately positioned

5 adjacent the p-type thermoelements; and

wherein the thermoelectric power source has a volume of less than about  $10 \text{ cm}^3$  and has a power output of from about  $1 \mu\text{W}$  to about  $1 \text{ W}$ .

24. The thermoelectric device of claim 23 wherein said multiple thermocouples  
10 electrically connected to one another in series or in series-parallel.

25. The thermoelectric power source of claim 23 wherein the p-type thermoelements have different widths as compared to the n-type thermoelements.

15 26. A method for fabricating thermoelectric power sources comprising:  
providing a flexible substrate;

sputter depositing multiple thin films of n-type thermoelectric material onto the flexible substrate;

sputter depositing multiple thin films of p-type thermoelectric material onto the  
20 flexible substrate; and

forming multiple thermocouples on the flexible substrate by electrically connecting the thin films of p-type thermoelectric material to the thin films of n-type thermoelectric materials.

25 27. The method of claim 26 wherein the thermoelectric power source is fabricated to have a volume of less than about  $10 \text{ cm}^3$  and to provide voltages of greater than about 1 volt.

28. The method of claim 26 wherein the p-type or the n-type thermoelements  
30 are sputter deposited to have L/A ratios greater than about  $50 \text{ cm}^{-1}$ .



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29. The method of claim 26 wherein the p-type or the n-type thermoelement materials are sputter deposited to have L/A ratios greater than about  $20 \text{ cm}^{-1}$ .

5           30. The method of claim 26 the p-type or the n-type thermoelement materials sputter deposited to form thin films of  $\text{Bi}_x\text{Te}_y$ ,  $\text{Sb}_x\text{Te}_y$ , and  $\text{Bi}_x\text{Se}_y$  alloys where  $x$  is about 2 and  $y$  is about 3.

10           31. The method of claim 26 further comprising winding the flexible substrate into a coil configuration.

32. The method of claim 27 further comprising activating thermoelectric power source by a temperature gradient of about  $20^\circ\text{C}$  or less.

15           33. The method of claim 26 wherein targets used for sputter depositing a thin film of n-type or p-type thermoelectric material onto a flexible substrate comprise  $\text{Sb}_2\text{Te}_3$  and  $\text{Bi}_2\text{Te}_3$ .

20           34. The method of claim 33 wherein an RF power of about 30 watts is supplied to the  $\text{Sb}_2\text{Te}_3$  target and an RF power of about 10 watts is supplied to the  $\text{Bi}_2\text{Te}_3$  target to sputter deposit the thin film of p-type thermoelectric material.

25           35. The method of claim 32 wherein an RF power of about 30 watts is supplied to the  $\text{Sb}_2\text{Te}_3$  target and an RF power of about 20 watts is supplied to the  $\text{Bi}_2\text{Te}_3$  target to sputter deposit the thin film of n-type thermoelectric material.

36. The method of claim 26 wherein a sputtering gas pressure is maintained at about 3 millitorr during the sputter deposition of the thin film of n-type thermoelectric material.

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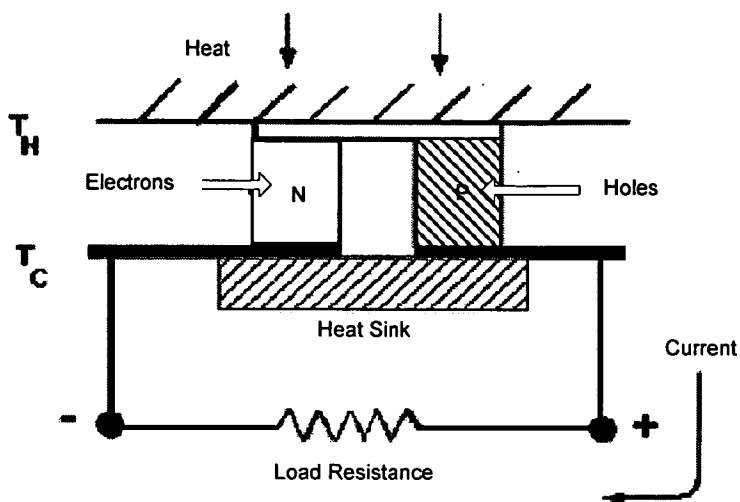
## **THERMOELECTRIC DEVICES AND APPLICATIONS FOR THE SAME**

### **Abstract**

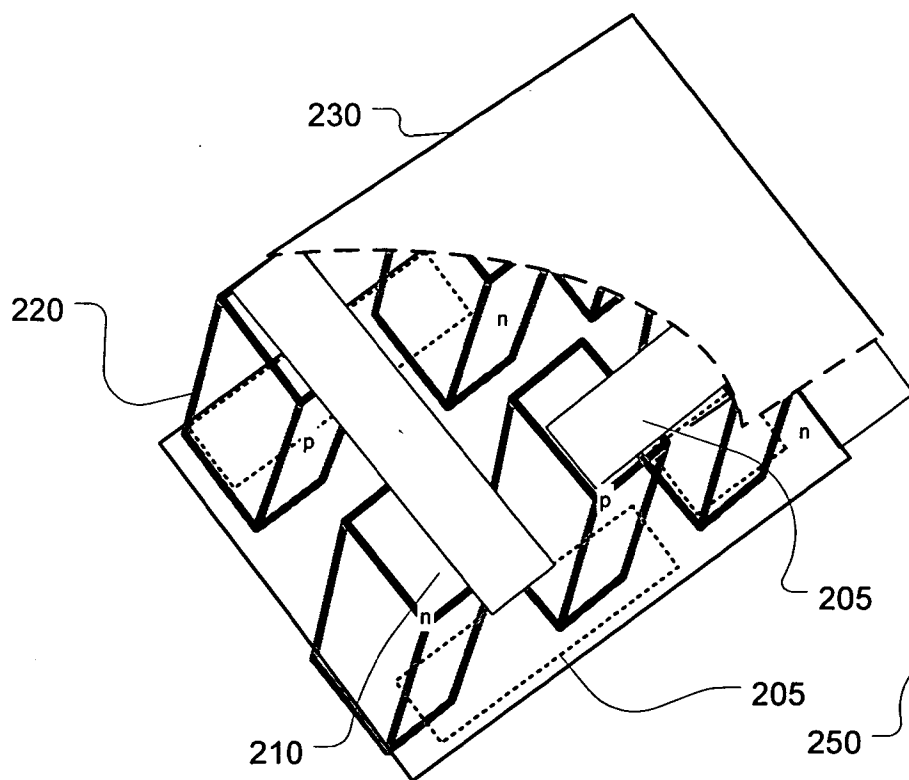
5 High performance thin film thermoelectric couples and methods of making the same are disclosed. Such couples allow fabrication of at least microwatt to watt-level power supply devices operating at voltages greater than one volt even when activated by only small temperature differences.

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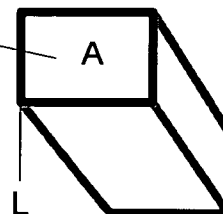
Our Ref. No. 23-65037  
Inventor Name: Larry C. Olsen et al.  
For: THERMOELECTRIC DEVICES AND  
APPLICATIONS FOR THE SAME  
Express Mail No. EV339204161US  
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**FIG. 1a**  
**PRIOR ART**



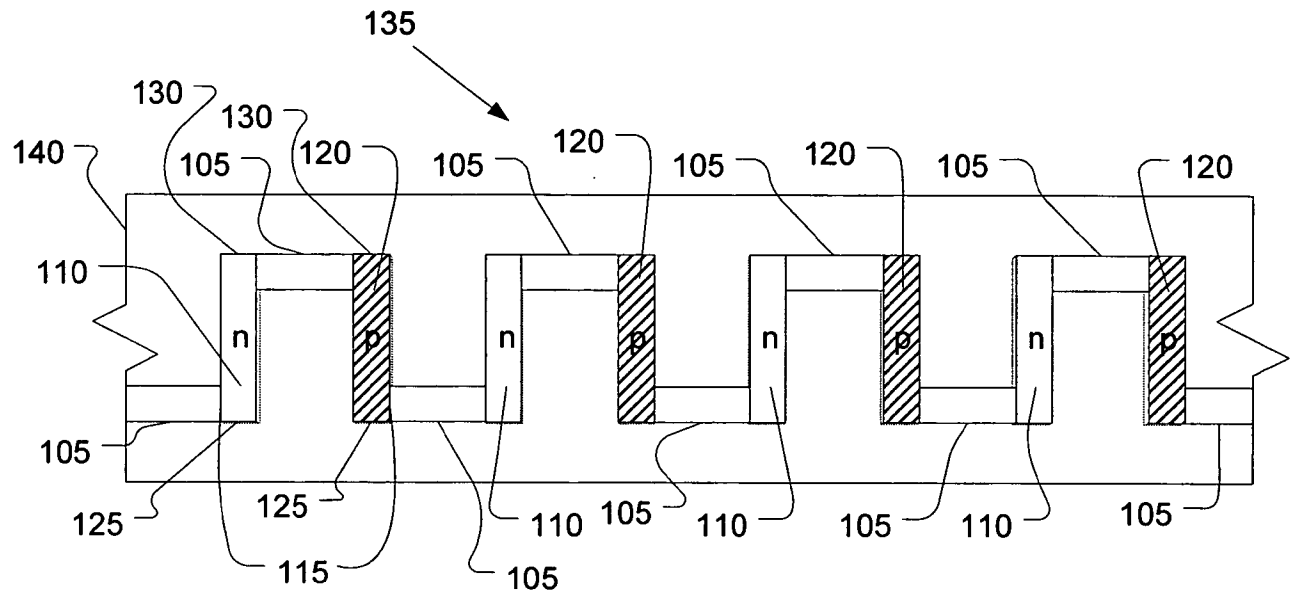
**FIG. 1b**  
**PRIOR ART**



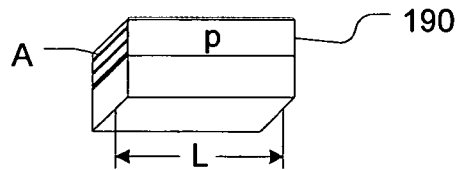
**FIG. 1c**  
**PRIOR ART**

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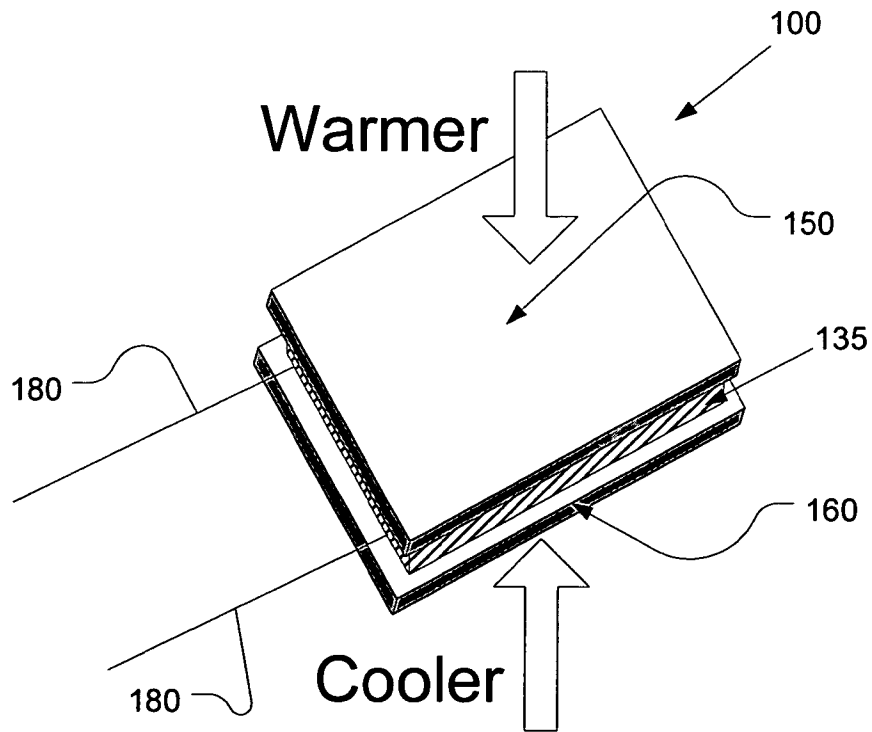
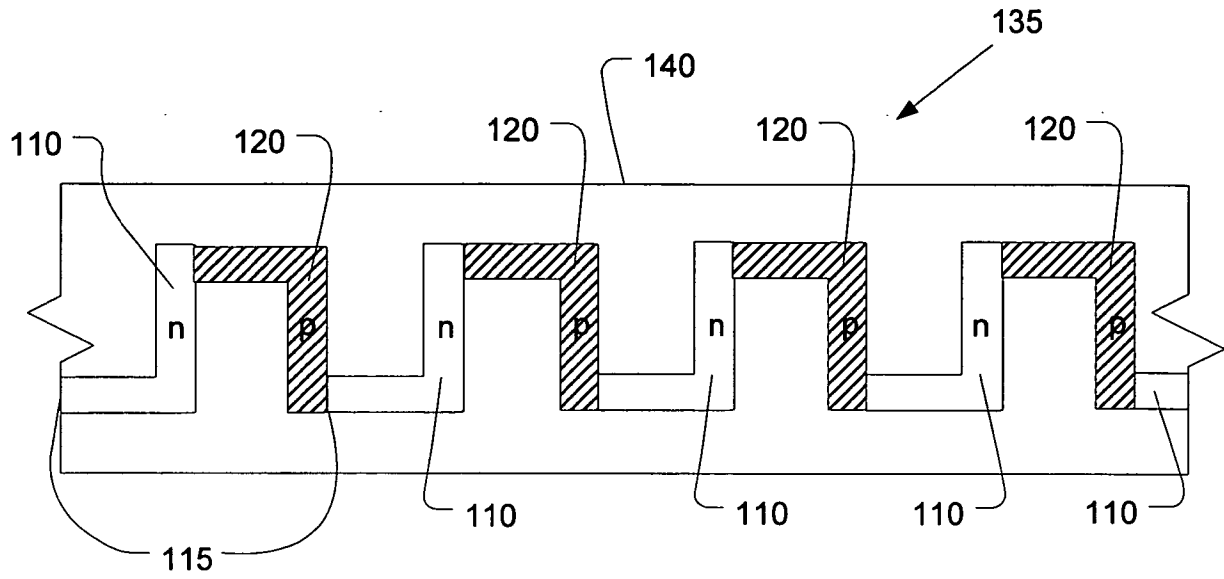


**FIG. 2a**



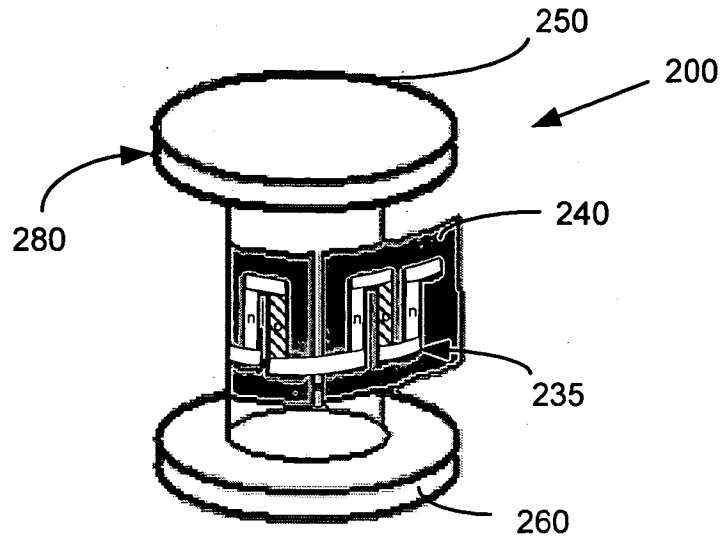
**FIG. 2b**

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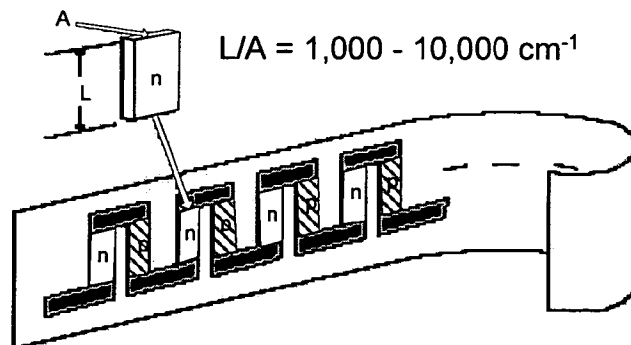


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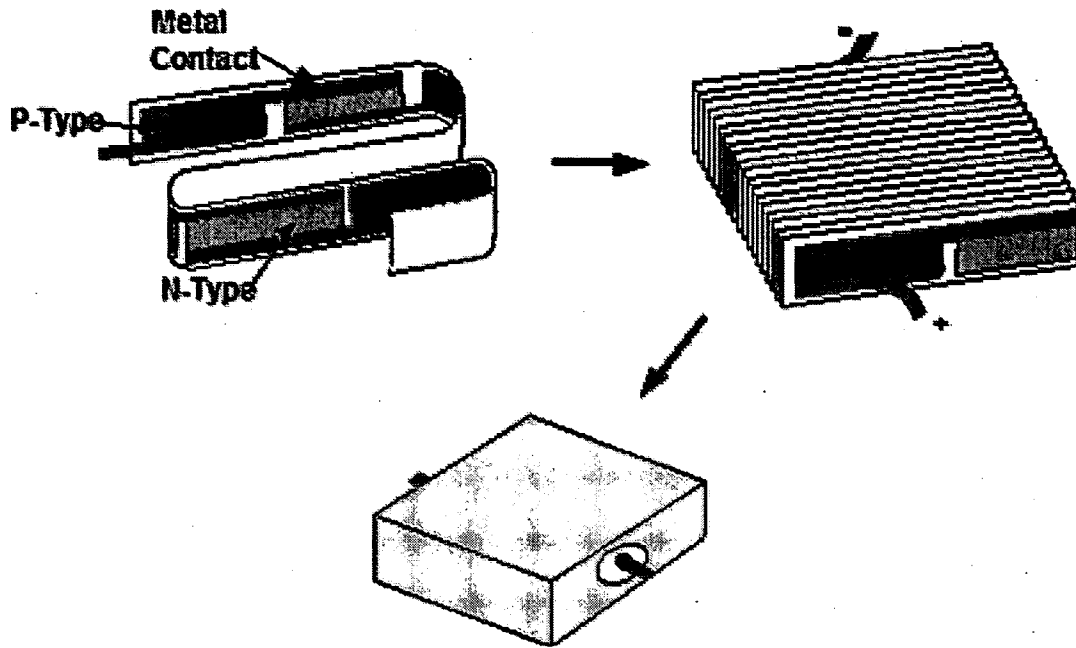
**FIG. 5**



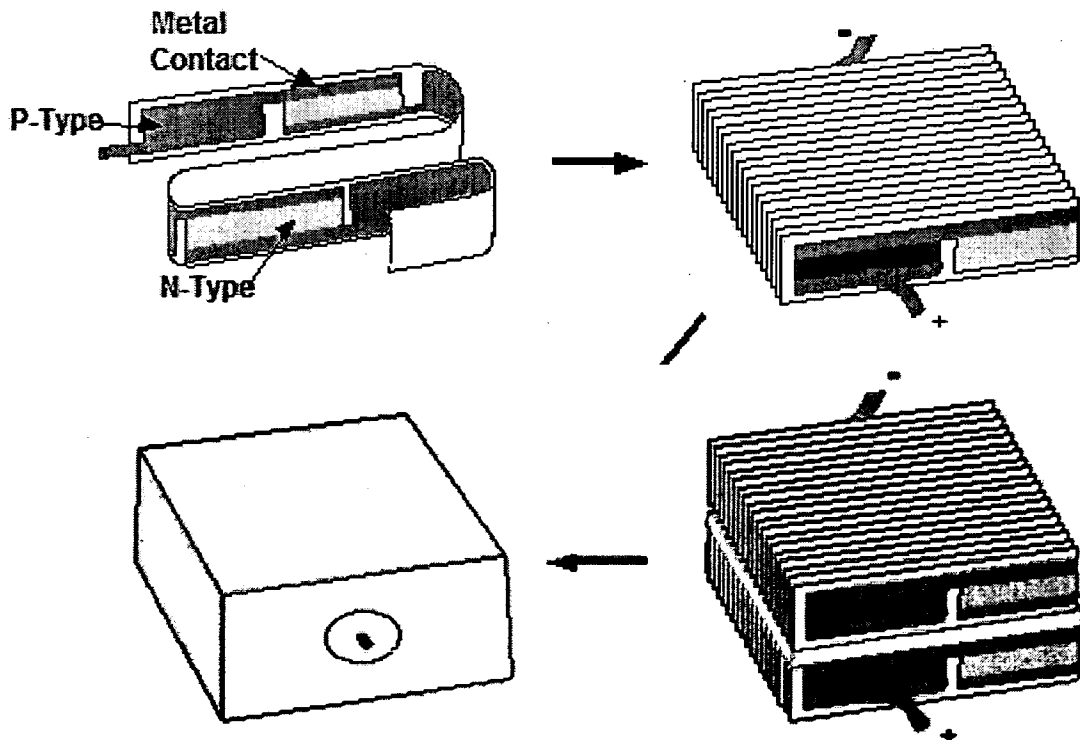
**FIG. 6**

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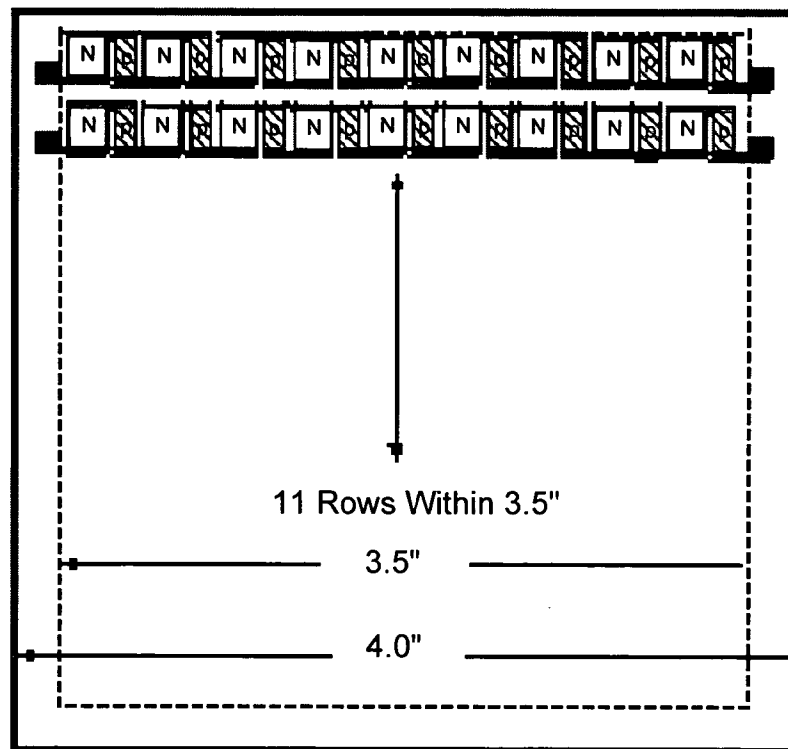
**FIG. 7**



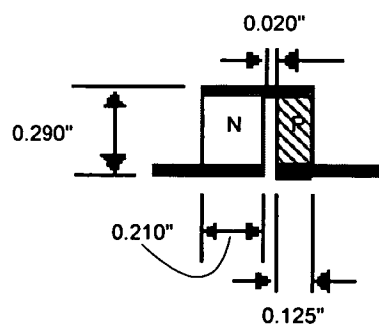
**FIG. 8**

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**FIG. 9a**

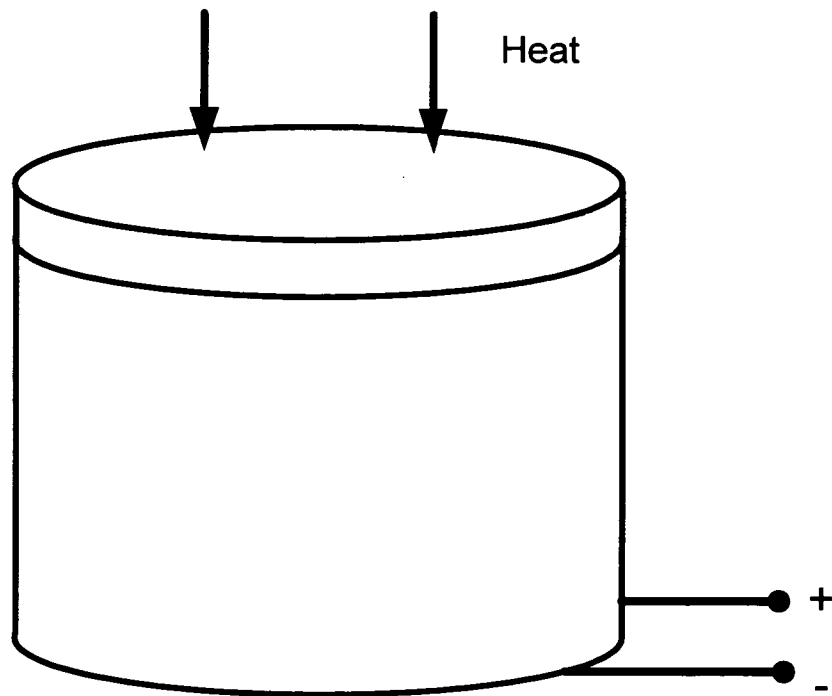


**FIG. 9b**



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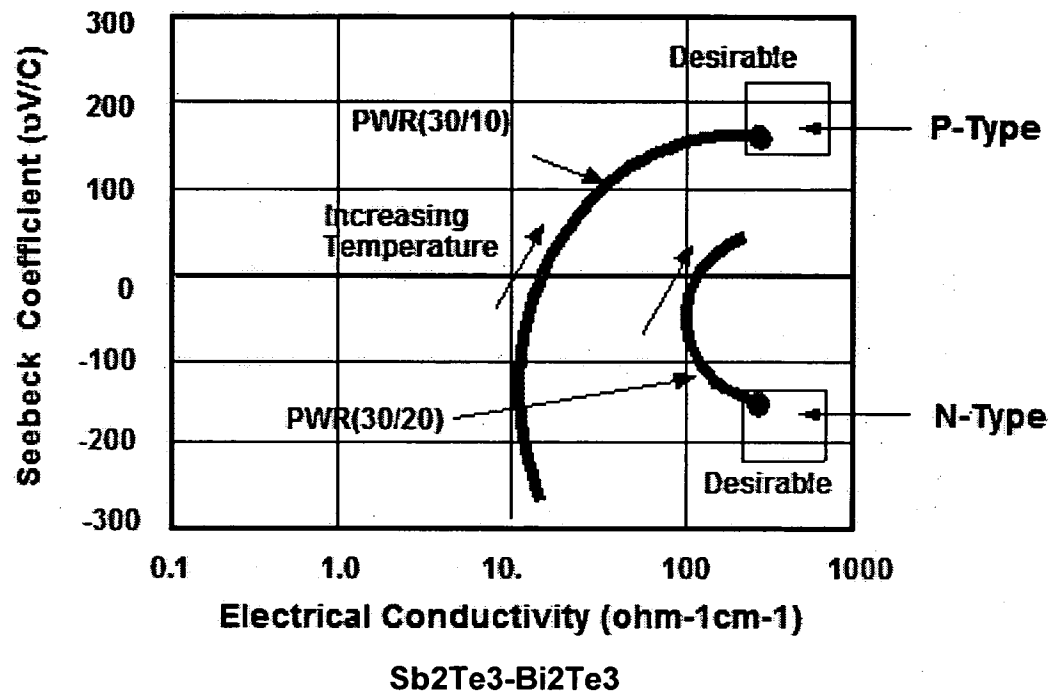
Our Ref. No. 23-65037  
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**FIG. 10**

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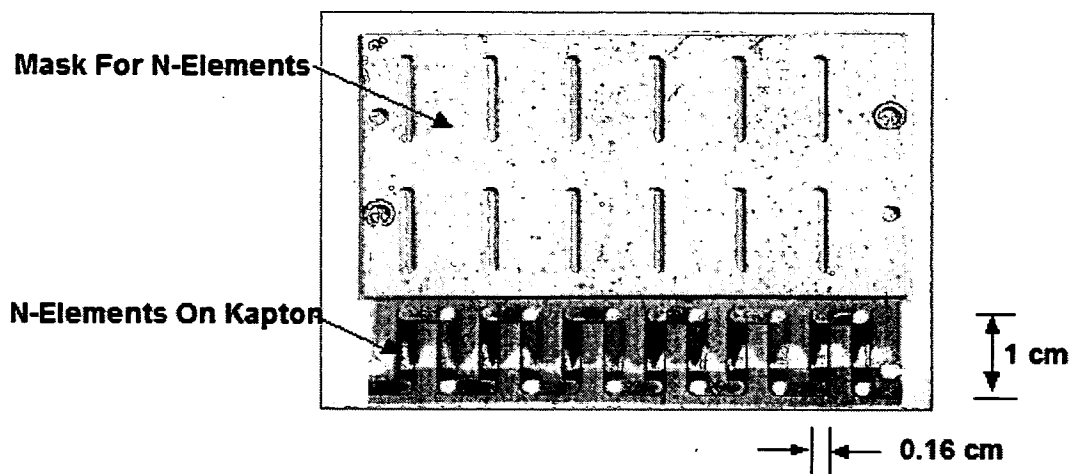
Our Ref. No. 23-65037  
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For: THERMOELECTRIC DEVICES AND  
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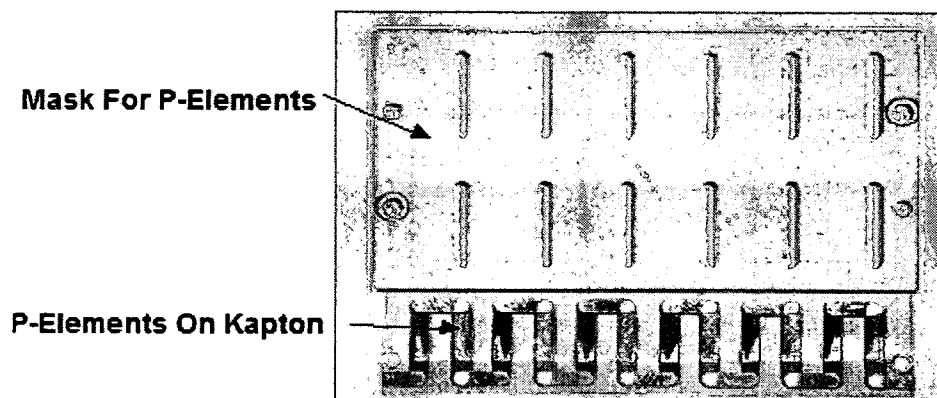
**FIG. 11**

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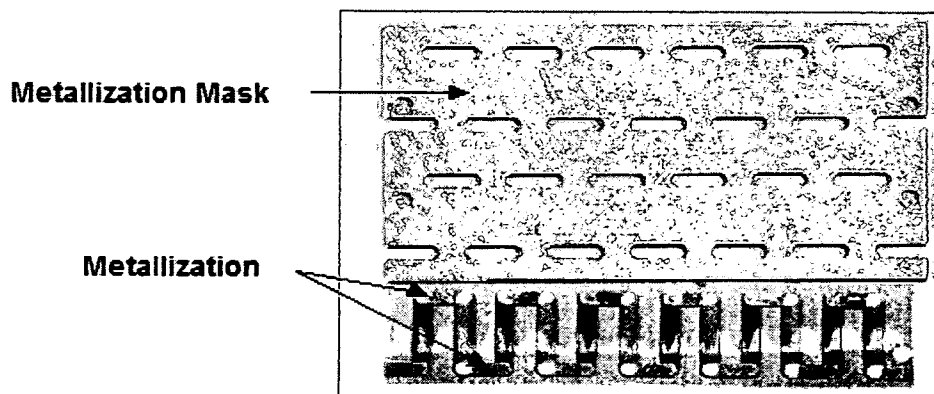
Our Ref. No. 23-65037  
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**FIG. 12a**



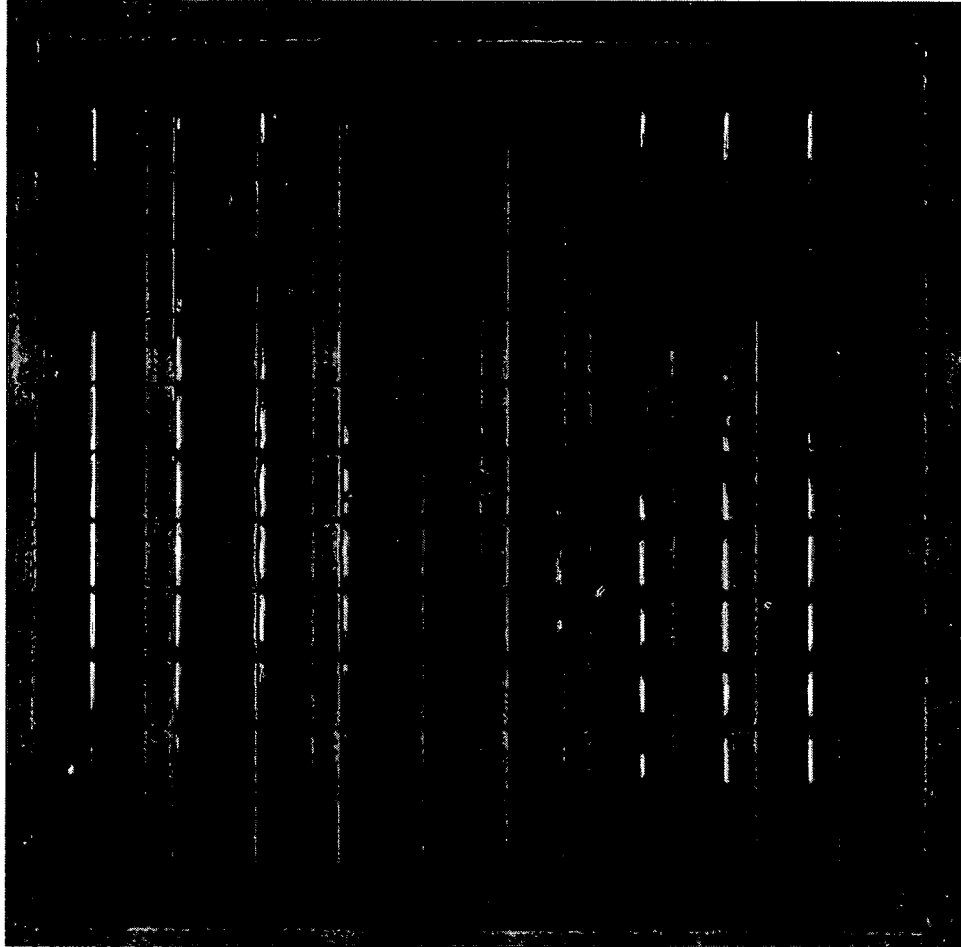
**FIG. 12b**



**FIG. 12c**

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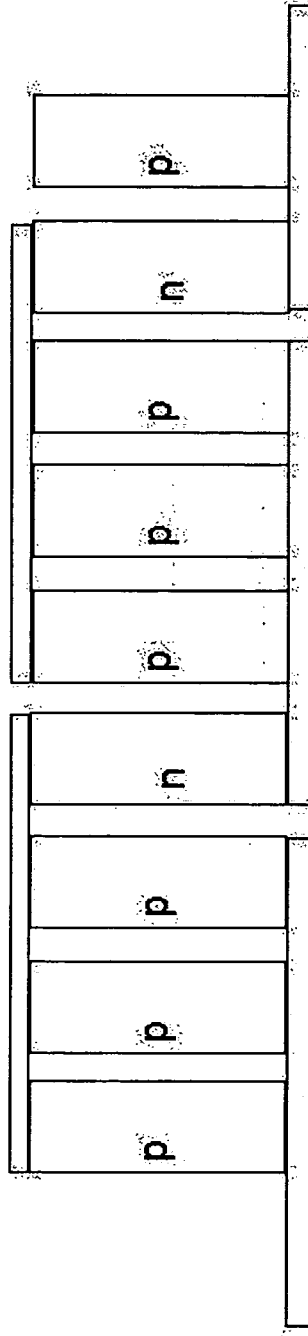


**FIG. 13**

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**FIG. 14**



LMC:ejv 12/01/03 13664-B Combined Declaration and POA.doc

Express Mail Label No. EV339204161US  
Attorney Ref. No. 23-65037**COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled THERMOELECTRIC DEVICES AND APPLICATIONS FOR THE SAME, the specification of which

- ☒ is attached hereto.
- ☐ was filed on \_\_\_\_\_ as United States Patent Application No. \_\_\_\_\_.
- ☐ was described and claimed in PCT International Application No. \_\_\_\_\_, filed on \_\_\_\_\_, and as amended under PCT Articles 19 on \_\_\_\_\_ (if applicable).
- ☐ and was amended on \_\_\_\_\_ (if applicable).
- ☐ with amendments through \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56. If this is a continuation-in-part application filed under the conditions specified in 35 U.S.C. § 120 which discloses claims and subject matter in addition to that disclosed in the prior copending application, I further acknowledge the duty to disclose material information as defined in 37 C.F.R. § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) on which priority is claimed:

Number	Country	Day/Month/Year Filed	Claim Priority?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Number	Filing Date

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Express Mail Label No. EV339204161US  
Attorney Ref. No. 23-65037

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) or § 365(c) of any PCT international application(s) designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Filing Date	Status: patented, pending, abandoned
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I hereby appoint the practitioners associated with the customer number provided below to prosecute this application, to file a corresponding international application, and to transact all business in the Patent and Trademark Office connected therewith:

### Customer Number 32215

Name	Rcg. No.	Name	Reg. No.
ANDON, Christopher L.	51,406	MC LEOD, Richard D.	46,921
BAKER, Theodore W.	53,961	MAURER, Gregory L.	43,781
BIBLE, Patrick M.	44,423	NOONAN, William D.	30,878
BUNKER, Gillian	47,461	PETERSEN, David P.	28,106
CALDWELL, Lisa M.	41,653	POLLEY, Richard J.	28,107
CARLSON, Anne	47,472	RINEHART, Kyle B.	47,027
CASH, David	52,706	RUPERT, Wayne W.	34,420
GIRARD, Michael P.	38,467	RYBAK, Sheree L.	47,913
GOFF, Jared S.	44,716	SIEGEL, Susan Alpert	43,121
GORDON, Debra A.	54,128	SLATER, Stacey C.	36,011
HAENDLER, Jeffrey B.	43,652	STEPHENS Jr., Donald L.	34,022
HARDING, Tanya M.	42,630	STUART, John W.	24,540
HAYES, Kevin M.	54,158	VANDENBERG, John D.	31,312
JAKUBEK, Joseph T.	34,190	WAGNER, Justin D.	54,519
JONCUS, Stephen J.	44,809	WHINSTON, Arthur L.	19,155
JONES, Michael D.	41,879	WIGHT, Stephen A.	37,759
KLARQUIST, Kenneth S.	16,445	WINN, Garth A.	33,220
KLITZKE II, Ramon A.	30,188	YOUNG, Travis	53,819
LEIGH, James S.	20,434	ZASTROW, Devon J.	50,206
HARRINGTON, Todd J.	50,137	BRANTON, Vincent A.	39,120
MATHESON, James D.	54,569		

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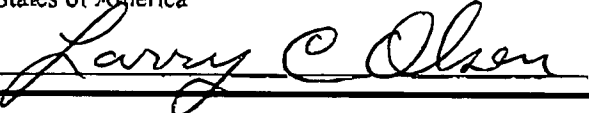
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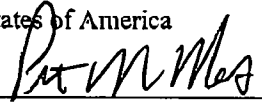
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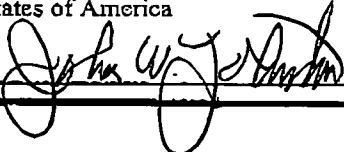
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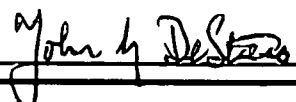
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